

# U.S. Department of Commerce NOAA



## Privacy Impact Assessment for the NOAA4020 Science and Technology

Reviewed by: Mark Graff, Bureau Chief Privacy Officer

- Concurrence of Senior Agency Official for Privacy/DOC Chief Privacy Officer  
 Non-concurrence of Senior Agency Official for Privacy/DOC Chief Privacy Officer

**CATRINA PURVIS**

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12/7/2017

Signature of Senior Agency Official for Privacy/DOC Chief Privacy Officer

Date

**U.S. Department of Commerce Privacy Impact Assessment  
NOAA/NOAA4020  
Science and Technology**

**Unique Project Identifier:** 006-48-01-14-02-3305-00

**Introduction: System Description**

The NOAA4020 Science and Technology (S&T) system functions as a general data processing system for NOAA and NMFS headquarters located in Silver Spring, MD. It provides resources to support scientific operation and research, data and information management, fisheries surveys, statistical analysis, stock assessments, socio-economic analysis, ecosystem management, other national program database and applications development, and management decisions needs. The user base of this system reaches across different headquarter offices and across regions and science centers within NMFS. Many of these automated systems are built in support of the NOAA Fisheries mission.

- 1) The Financial Services Division collects information from applicants for the following programs and purposes: The Fisheries Finance Program (FFP), credit information, personal identification including social security number, and tax returns. The information is used to verify applicants for fisheries loans. Capital Construction Fund (CCF), personal identification including social security numbers and tax returns. The information is used to verify applicants for CCF accounts and projects. Fishermen's Contingency Fund (FCF), personal identification including social security numbers, and personal transaction information. The information is used to verify business losses and lost fishing gear for claims made by the fishermen. Information collected includes tax returns.

Information collected: applicant's name and address, the amount of financing applied for, the purpose of loans, an appraisal of the vessel or facility involved, financial information including the last 3 tax returns (these are not stored electronically), a list of creditors and buyers with relevant credit terms, identification of authorized representatives (accountant, attorney, insurance agent), and legal history (status regarding bankruptcy, litigation, delinquency on and Federal debt, etc.). Annual financial statements are required of all borrowers. These statements update the financial statement information presented with the original application. The financial statements are used to monitor the borrower's financial condition and to trigger servicing actions if indicated. Loan applications are entered into the system from paper forms completed by the public, into an online application, which is managed by NMFS NOAA4020. Regional offices access the information in order to administer loans for applicants. The loan data is stored only in NOAA4020.

When a United States (U.S.) commercial fisherman sustains losses and/or damages as a result of oil and gas activities on the U.S. Outer Continental Shelf (OCS), the fisherman may apply for compensation from the U.S. Federal government, using fillable pdf forms on the applicable Web site.

NMFS also has programs to reduce excess fishing capacity by paying fishermen to surrender their vessels/permits. These fishing capacity reduction programs, or buybacks, are conducted pursuant to the Magnuson-Stevens Fishery Conservation and Management Act, and the Magnuson-Stevens Reauthorization Act (Pub. L. 109-479). The buybacks can be funded by a Federal loan to the industry or by direct Federal or other funding. Buyback regulations are at 50 CFR Part 600. The information collected by NMFS involves the submission of buyback requests by industry, submission of bids, referenda of fishery participants and reporting of collection of fees to repay buyback loans. For Fishery Capacity Reduction Program Buyback Requests, certain forms are submitted on paper and entered into a database, and others are submitted online.

Information is not shared except within the program (NMFS Headquarters, West Coast Region and Southeast Region), or in the case of a breach, within the bureau, the Department and other federal agencies (Justice).

## **2) International Trade Data System (ITDS).**

ST6 International Trade Data System (ITDS) is used to support a number of NMFS offices/programs to monitor imports and exports of fisheries products. Types of BII data collected are Name of business, Address and Contact information. The data is collected from the U.S. Customs and Border Control's ITDS database. Reasons for the NMFS database:

(1) The CBP's ITDS only grants access to a small group of people who can meet their security clearance requirements which will take time and it seems they do want to limit the number of users. (2) The CBP's ITDS can't meet the specific requirements of the NMFS programs. So we developed our own ITDS to support the NMFS programs. For example, one program needs to the functions to track the harvesting vessel trips, all programs need the functions to review the data and track issues; the programs need to search data relevant to their programs etc.

## **3) Marine Recreational Information Program (MRIP) Extract, Transform and Load (ETL)**

The Marine Recreational Information Program (MRIP) Extract, Transform and Load (ETL) system will be a tool to load raw data from various sources, format them and run through various QA/QC processes. NOAA4020 collects PII and BII data from MRIP ETL only for the NSAR, see below. Types of PII collected are fishing license info, Name, Address, Driver's license, Phone, Email and Date of Birth of the angler. Some states have requested that their data cleansed by this process be sent back to them.

## **4) National Saltwater Angler Registry - NSAR**

The National Saltwater Angler Registry system allows the integration of the state-provided saltwater angler license data with the existing national registration data into a database, which

can be used as a consolidated phone book of the nation's recreational salt-water anglers. The captured data is entered into the database and will be used to furnish frames for the MRIP survey. Types of PII collected are Name, Address, Driver's license, Telephone, Email and Date of Birth of the angler.

**5) NOAA Fisheries Committee on Scientific Stature. This is not an outside advisory committee.**

The NOAA Fisheries Committee on Scientific Stature (NFCSS) is a national-level Performance Management Advisory Committee (PMAC) established to review the contributions, impact and stature of NOAA Fisheries Band IV and V non-supervisory research scientists. The NFCSS evaluates scientists whose primary responsibility is to conduct research and develop scientific products for resource management advice, other scientific advice, publications, and reports that represent new or more comprehensive understanding of a subject. The NFCSS members are Band V scientists, who are subject matter experts, from the regional science centers appointed to three-year terms by the respective regional Science Director. There is a website and database to manage and record the results of NFCSS member reviews conducted for the purpose of evaluating a scientist's credentials and contributions to allow them to be assigned to a higher pay Band without being a supervisor and to produce a standard report for the committee chair (OST Science Director). In 2014, OST upgraded the NFCSS website and database to enable password protected, role-based secure storage and retrieval of review package documents. Access to the database is restricted to the OST Science Director, the six regional Deputy Science Directors, one Band V research scientist from each regional science center, the NOAA Fisheries HR Business Partner, and the NFCSS database administrator and is provided by the NFCSS database administrator only at the request of the NFCSS Chair. Information collected: name, work contact information, letters of reference and curricula vitae, performance plan, science director memoranda and name of immediate supervisor. The administrator uploads copies of a memorandum from the NFCSS Chair to the Science Center director of staff being reviewed. The data (name, email, documents) for staff being reviewed are entered by their Deputy Science Director. The review comments are entered by the NFCSS members.

**6) Protected Resources National Inventory of Marine Mammals (NIMM) System.**

National Inventory of Marine Mammals (NIMM) was rolled out to the marine mammal Owners and Facilities, on July 18, 2017, with an initial user base of 151 users. NIMM maintains current and past data (it replaces previous inventory databases maintained by NMFS since the 1970s) on marine mammals under NMFS' jurisdiction (dolphins, porpoises, whales, seals and sea lions) held in permanent captivity for public display. In addition, NIMM includes information on marine mammals held in permanent captivity for scientific research, enhancement, and national defense purposes. NIMM includes beached/stranded marine mammals only if they have been deemed non-releasable and cannot be returned to the wild. NIMM allows marine mammal Owners and Facilities to enter inventory data directly into the online system. NIMM will eventually provide the public with real-time access to the national inventory. NOAA4020

collects PII and BII data from this system. Types of BII collected are Institution Name, Mailing address, Contact email, Phone and Fax Numbers.

### **7) Highly Migratory Species.**

Effective July 1, 2005, all dealers importing, exporting, or re-exporting bluefin tuna, swordfish, southern bluefin tuna and frozen bigeye tuna must hold a Highly Migratory Species International Fishery Trade Permit (HMS IFTP) and follow the required reporting procedures established at 50 C.F.R. 300.183 through 300.187. The HMS IFTP is required to assist the United States implement international trade tracking programs addressing illegal, unreported, and unregulated fishing activities, improve conservation and management measures, and enhance the scientific evaluation of these stocks.

Under international agreements and domestic law, the United States implements recommendations of the International Commission for the Conservation of Atlantic Tunas (ICCAT) and Inter-American Tropical Tuna Commission (IATTC). Both IATTC and ICCAT have implemented a statistical document program for frozen bigeye tuna. In addition, ICCAT has implemented bluefin tuna and swordfish statistical document programs.

The NMFS Office of Science and Technology developed a legacy Highly Migratory Species Dealer Permit System more than 10 years ago to meet the requirements outlined in the purpose above. The system has since been migrated over to the NMFS National Permit System, whose information is stored in NOAA4000. For historical validating of permits, the system is currently being retained for its reporting functionality for viewing and validating permit information on dealers. Please note that once all permits have expired on these two reports, there will be no more need to maintain these interfaces and will therefore be deactivated. NOAA4020 collects PII and BII data from Highly Migratory Species. Types of PII and BII data collected and processed are Applicant Name, Social Security Number, Position Type, Birthdate, Mailing Address Street Name, Business Name, Federal ID No/SSN, Date Business Formed, Business Type, Mailing Address Street Name etc. *No new data is being collected through this legacy system.*

### **8) NOAA Emergency Contact List**

NOAA collects the Emergency Contact List that is used to track and locate staff in the office of Science and Technology. This is PII data.

- 9) NOAA4020 collects system user ID information from employees and contractors accessing the system.

### **Authorities**

From NOAA-19: Magnuson-Stevens Fishery Conservation and Management Act, 16 U.S.C. 1801 et seq. (Magnuson-Stevens Act); High Seas Fishing Compliance Act of 1995, 16 U.S.C. 5501 et seq.; International Fisheries Regulations: Vessels of the United States Fishing in Colombian Treaty Waters, 50 CFR 300.120; the

American Fisheries Act, Title II, Public Law 105-277; the Atlantic Coastal Fisheries Cooperative Management Act of 1993, 16 U.S.C. 5101-5108, as amended 1996; the Tuna Conventions Act of 1950, 16 U.S.C. 951-961; the Atlantic Tunas Convention Authorization Act, 16 U.S.C., Chapter 16A; the Northern Pacific Halibut Act of 1982, 16 U.S.C. 773 et seq. (Halibut Act); the Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431-2444; the Western and Central Pacific Fisheries Convention Implementation Act, 16 U.S.C. 6901 et seq. (WCPFCIA); the Marine Mammal Protection Act, 16 U.S.C. 1361; and Taxpayer Identifying Number, 31 U.S.C. 7701.

From NOAA-21: Title XI of the Merchant Marine Act of 1936 as amended and codified, 46 U.S.C. 1177 and 46 U.S.C. 53701 et seq., the Magnuson-Stevens Fishery Conservation and Management Act, 16 U.S.C. 1801 et seq., and provisions of the Debt Collection Improvement Act as codified at 31 U.S.C. 7701.

From DEPT-18: 5 U.S.C. 301; 44 U.S.C. 3101; E.O. 12107, E.O. 13164, 41 U.S.C. 433(d); 5 U.S.C. 5379; 5 CFR Part 537; DAO 202-957; E.O. 12656; Federal Preparedness Circular (FPC) 65, July 26, 1999; DAO 210-110; Executive Order 12564; Public Law 100-71, dated July 11, 1987.

From DEPT-13: Executive Orders 10450, 11478, 12065, 5 U.S.C. 301 and 7531-332; 15 U.S.C. 1501 et. seq.; 28 U.S.C. 533-535; 44 U.S.C. 3101; and Equal Employment Act of 1972. Types of PII data collected is Contact Name, Phone Number and Address.

The legal authority for the Emergency Contact List collection of information addressed in this PIA is: 5 U.S.C. § 301, which authorizes the operations of an executive agency, including the creation, custodianship, maintenance and distribution of records.

This is a FIPS 199 moderate level system.

**Section 1: Status of the Information System**

1.1 Indicate whether the information system is a new or existing system.

- This is a new information system.
- This is an existing information system with changes that create new privacy risks.  
(Check all that apply.)
- This is an existing information system with no changes that create new privacy risks.

<b>Changes That Create New Privacy Risks (CTCNPR) - NA</b>					
a. Conversions		d. Significant Merging		g. New Interagency Uses	
b. Anonymous to Non-Anonymous		e. New Public Access		h. Internal Flow or Collection	
c. Significant System Management Changes		f. Commercial Sources		i. Alteration in Character of Data	
j. Other changes that create new privacy risks (specify): New application (NIMM) rolled out in 7/17.					

**Section 2: Information in the System**

2.1 Indicate what personally identifiable information (PII)/business identifiable information (BII) is collected, maintained, or disseminated. (*Check all that apply.*)

<b>Identifying Numbers (IN)</b>					
a. Social Security*	X*	e. File/Case ID		i. Credit Card	
b. Taxpayer ID	X*	f. Driver's License	X	j. Financial Account	X
c. Employer ID		g. Passport		k. Financial Transaction	X
d. Employee ID		h. Alien Registration		l. Vehicle Identifier	
m. Other identifying numbers (specify):					
<p>*Required for identification of the individual for payment purposes, and for verification of financial information.            * Sec. 53074(c)(4): for the loan programs, the analysis of an applicant's financial condition requires a credit examination, for which the SSN would be needed.</p>					

<b>General Personal Data (GPD)</b>					
a. Name	X	g. Date of Birth	X	m. Religion	
b. Maiden Name		h. Place of Birth		n. Financial Information	X
c. Alias		i. Home Address	X	o. Medical Information	
d. Gender		j. Telephone Number	X	p. Military Service	
e. Age		k. Email Address	X	q. Physical Characteristics	
f. Race/Ethnicity		l. Education	X	r. Mother's Maiden Name	
s. Other general personal data (specify):					

<b>Work-Related Data (WRD)</b>					
a. Occupation	X	d. Telephone Number	X	g. Salary	
b. Job Title		e. Email Address	X	h. Work History	X
c. Work Address	X	f. Business Associates			
i. Other work-related data (specify): For <b>Fisheries Committee on Scientific Stature</b>					
j. Performance Plan					
k. Supervisor Justification					
l. Science Director Memoranda					
m. Letters of Reference					
n. Curriculum Vitae					
o. Position Description					

<b>Distinguishing Features/Biometrics (DFB)</b>					
a. Fingerprints		d. Photographs		g. DNA Profiles	
b. Palm Prints		e. Scars, Marks, Tattoos		h. Retina/Iris Scans	
c. Voice Recording/Signatures		f. Vascular Scan		i. Dental Profile	
j. Other distinguishing features/biometrics (specify):					

<b>System Administration/Audit Data (SAAD)</b>					
a. User ID	X	c. Date/Time of Access	X	e. ID Files Accessed	X
b. IP Address	X	d. Queries Run	X	f. Contents of Files	X
g. Other system administration/audit data (specify):					

<b>Other Information (specify)</b>

2.2 Indicate sources of the PII/BII in the system. *(Check all that apply.)*

<b>Directly from Individual about Whom the Information Pertains</b>					
In Person		Hard Copy: Mail/Fax		Online	X*
Telephone		Email			
Other (specify):					

\* For the ECL

<b>Government Sources</b>					
Within the Bureau	X	Other DOC Bureaus		Other Federal Agencies	X
State, Local, Tribal	X	Foreign			
Other (specify)					

<b>Non-government Sources</b>					
Public Organizations		Private Sector		Commercial Data Brokers	X
Third Party Website or Application					
Other (specify):					

2.3 Indicate the technologies used that contain PII/BII in ways that have not been previously deployed. *(Check all that apply.)*

<b>Technologies Used Containing PII/BII Not Previously Deployed (TUCPBNPD)</b>			
Smart Cards		Biometrics	
Caller-ID		Personal Identity Verification (PIV) Cards	
Other (specify):			

x	There are not any technologies used that contain PII/BII in ways that have not been previously deployed.
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### **Section 3: System Supported Activities**

3.1 Indicate IT system supported activities which raise privacy risks/concerns. *(Check all that apply.)*



<b>Activities</b>			
Audio recordings		Building entry readers	
Video surveillance		Electronic purchase transactions	
Other (specify):			

X	There are not any IT system supported activities which raise privacy risks/concerns.		
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#### **Section 4: Purpose of the System**

4.1 Indicate why the PII/BII in the IT system is being collected, maintained, or disseminated.  
(Check all that apply.)

<b>Purpose</b>			
To determine eligibility		For administering human resources programs	
For administrative matters	X	To promote information sharing initiatives	
For litigation	X	For criminal law enforcement activities	X
For civil enforcement activities	X	For intelligence activities	
To improve Federal services online	X	For employee or customer satisfaction	
For web measurement and customization technologies (single-session )	X	For web measurement and customization technologies (multi-session )	
Other (specify): To determine loan, compensation and buyback qualifications from fishing vessel owners; to maintain databases for tracking international seafood trading tracking, angler registration, for use in reviewing scientists' research products, and a Protected Resources marine mammal inventory.			

#### **Section 5: Use of the Information**

5.1 In the context of functional areas (business processes, missions, operations, etc.) supported by the IT system, describe how the PII/BII that is collected, maintained, or disseminated will be used. Indicate if the PII/BII identified in Section 2.1 of this document is in reference to a federal employee/contractor, members of the public, Capital Construction Fund Agreement, the Fishermen's Contingency Fund, foreign national, visitor or other (specify).

The Fisheries Finance Program (FFP) provides direct loans for certain fisheries costs. Vessel financing is available for the purchase of used vessels or the reconstruction of vessels (limited to reconstructions that do not add to fishing capacity). Refinancing is available for existing debt obligations. FFP loans are not issued for purposes which could contribute to over capitalization of the fishing industry. Finance or refinance fisheries shore side facilities or Aqua cultural facilities. The program provides Individual Fishing Quota (IFQ) financing (at the request of a Fishery Management Council). IFQ financing is available to first time purchasers and small vessel operators in the Halibut Sablefish fisheries. FFP also provides long term fishery buy back financing (at the request of a Fishery Management Council or Governor) to purchase and retire fishing permits and/or fishing vessels in overcapitalized fisheries. Also, a United States (U.S.) commercial fisherman who sustains losses and/or damages as a result of oil and gas activities on the U.S. Outer Continental Shelf (OCS), the fisherman may apply for compensation from the U.S. Federal government.

FFP financing offers the fishing industry slightly better interest rates and longer term loans than are available elsewhere. The longer-term loans allow the industry to amortize their capital investment over the actual economic life of the fisheries asset. Lower debt service reduces economic pressure, thus allowing the borrower to more easily accommodate more restrictive fishery management initiatives. FFP regulations ensure that FFP traditional lending will not increase harvesting capacity in the fisheries but will simply permit the financing of the acquisition of existing vessels/facilities or the refinancing of existing debt for vessels/facilities already in the fishery.

Applications are required in order to determine qualification for a loan, and to provide contact information with borrowers. Annual financial statements are required of all borrowers. These statements update the financial statement information presented with the original application. The financial statements are used to monitor the borrower's financial condition and to trigger servicing actions if indicated.

This information is collected from members of the public.

The Emergency Contact List (ECL) is used to track and locate staff in the office of Science and Technology: name, occupation, work address and email. This information is collected from employees and contractors.

#### **International Trade Data System (ITDS).**

ST6 International Trade Data System (ITDS) is used to support a number of NMFS offices/programs to monitor imports and exports of fisheries products. Types of BII data collected are Name of business, Address and Contact information. The data is collected from the U.S. Customs and Border Control's ITDS database, who originally collected it from members of the public.

#### **MRIP ETL**

The MRIP ETL is a tool to load raw data from various sources including states, format them and run through various QA/QC processes. NOAA4020 collects PII and BII data from MRIP ETL. Types of PII collected are fishing license info, Name, Address, Driver's license, Phone,

Email and Date of Birth of the angler. The MRIP ETL collects data from the NSAR, below.

### **National Saltwater Angler Registry - NSAR**

The National Saltwater Angler Registry system allows the integration of the state-provided saltwater angler license data with the existing national registration data into a database, which can be used as a consolidated phone book of the nation's recreational salt-water anglers. The captured data is entered into the database and will be used to furnish frames for the MRIP survey. Some states have requested that their data cleansed by this process be sent back to them. Types of PII collected are Name, Address, Driver's license, Telephone, Email and Date of Birth of the angler.

The **NOAA Fisheries Committee on Scientific Stature (NFCSS)** is a national-level PMAC established to review the contributions, impact and stature of NOAA Fisheries Band IV and V non-supervisory research scientists. The NFCSS evaluates scientists whose primary responsibility is to conduct research and develop scientific products for resource management advice, other scientific advice, publications, and reports that represent new or more comprehensive understanding of a subject. The NFCSS members are Band V scientists, who are subject matter experts, from the regional science centers appointed to three-year terms by the respective regional Science Director. Information is only shared among the members of the NFCSS. The information is collected from members of the public.

#### **1) Protected Resources National Inventory of Marine Mammals (NIMM) System.**

National Inventory of Marine Mammals (NIMM) was rolled out to the marine mammal Owners and Facilities, on July 18, 2017, with an initial user base of 151 users. NIMM maintains current and past data (it replaces previous inventory databases maintained by NMFS since the 1970s) on marine mammals under NMFS' jurisdiction (dolphins, porpoises, whales, seals and sea lions) held in permanent captivity for [public display](#). In addition, NIMM includes information on marine mammals held in permanent captivity for scientific research, enhancement, and national defense purposes. NIMM includes beached/stranded marine mammals only if they have been deemed non-releasable and cannot be returned to the wild. NIMM allows marine mammal Owners and Facilities to enter inventory data directly into the online system. NIMM will eventually provide the public with real-time access to the national inventory. NOAA4020 collects PII and BII data from this system. Types of BII collected are Institution Name, Mailing address, Contact email, Phone and Fax Numbers. NO PII is collected.

#### **2) Highly Migratory Species.**

Effective July 1, 2005, all dealers importing, exporting, or re-exporting bluefin tuna, swordfish, southern bluefin tuna and frozen bigeye tuna must hold a Highly Migratory Species International Trade Permit (HMS ITP) and follow the required reporting procedures established at 50 C.F.R. 300.183 through 300.187. The HMS ITP is required to assist the United States implement international trade tracking programs addressing illegal, unreported, and unregulated fishing activities, improve conservation and management measures, and enhance the scientific evaluation of these stocks.

The legacy system has since been migrated over to the NMFS National Permit System, whose information is stored in NOAA4000. For historical validating of permits, the system is

currently being retained for its reporting functionality for viewing and validating permit information on dealers. Please note that once all permits have expired on these two reports, there will be no more need to maintain these interfaces and will therefore be deactivated. *No new data is being collected through this legacy system.*

**Section 6: Information Sharing and Access**

6.1 Indicate with whom the bureau intends to share the PII/BII in the IT system and how the PII/BII will be shared. *(Check all that apply.)*

Recipient	How Information will be Shared		
	Case-by-Case	Bulk Transfer	Direct Access
Within the bureau			X
DOC bureaus	X*		
Federal agencies	X*		
State, local, tribal gov't agencies	X**		
Public	X**		
Private sector			
Foreign governments			
Foreign entities			
Other (specify):			

\*In case of breach

\*\*NIMM

	The PII/BII in the system will not be shared.
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6.2 Indicate whether the IT system connects with or receives information from any other IT systems authorized to process PII and/or BII.

x	<p>Yes, this IT system connects with or receives information from another IT system(s) authorized to process PII and/or BII.</p> <p>Provide the name of the IT system and describe the technical controls which prevent PII/BII leakage: NOAA4020 connects with NOAA4000. Technical boundary controls are in place to prevent BII leakage. NOAA4020 consists of servers that support the development and deployment of application offerings that facilitate the provision of mission related services to the general public, authorized organizational and non-organizational users. NOAA4000 provides general support system (GSS, i.e. LAN/WAN network</p>
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	connectivity) services to NOAA4020.
	No, this IT system does not connect with or receive information from another IT system(s) authorized to process PII and/or BII.

6.3 Identify the class of users who will have access to the IT system and the PII/BII. (*Check all that apply.*)

Class of Users			
General Public		Government Employees	X
Contractors	X		
Other (specify):			

**Section 7: Notice and Consent**

7.1 Indicate whether individuals will be notified if their PII/BII is collected, maintained, or disseminated by the system. (*Check all that apply.*)

X	Yes, notice is provided pursuant to a system of records notice published in the Federal Register and discussed in Section 9.	
X	<p>Yes, notice is provided by a Privacy Act statement and/or privacy policy.</p> <p>NOAA Buyback Program Site with PAS (also on forms):  <a href="http://www.nmfs.noaa.gov/mb/financial_services/buyback.htm">http://www.nmfs.noaa.gov/mb/financial_services/buyback.htm</a></p> <p>Capital Construction Fund: all forms collecting PII are linked on this page:  <a href="http://www.nmfs.noaa.gov/mb/financial_services/ccf_docs_and_forms.htm">http://www.nmfs.noaa.gov/mb/financial_services/ccf_docs_and_forms.htm</a></p> <p>Fishermen’s Contingency Fund: PAS is on this page:  <a href="http://www.nmfs.noaa.gov/mb/financial_services/fcf.htm">http://www.nmfs.noaa.gov/mb/financial_services/fcf.htm</a> and will be added to the forms.</p> <p>NSAR Site and PAS: <a href="https://www.countmyfish.noaa.gov/register/">https://www.countmyfish.noaa.gov/register/</a></p> <p>The ECL PAS: <i>Site not available to non-NOAA staff. A screen shot with the PAS is included in the cover email for this PIA.</i></p>	
X	Yes, notice is provided by other means.	<p>Specify how: The FFP forms specify which information is required.</p> <p>The ECL has a Privacy Act Statement: This information collection is voluntary. The purpose is to maintain an emergency contact list. The personally identifiable information will not be shared outside the S&amp;T.</p> <p>ITDS: The data is collected from the U.S. Customs and Border Control’s ITDS database, who provides notice at the time of collection.</p>

		<p>NSAR: Notice is provided on the registration Web site: Anglers are also notified on the Web site, that their PII/BII may be used as part of a phone survey regarding fishing activities, before purchasing a license.</p> <p>MRIP ETL: No data collected directly by the system.</p> <p>NIMM: Upon being added to an organization as a Responsible Official or a Primary Contact, an automatic email is sent from NIMM.</p> <p>NFCSS: A screen shot signed by the director and operations director is included in the cover email.</p> <p>HMS Legacy System – no new information is being collected.</p>
	No, notice is not provided.	Specify why not:

7.2 Indicate whether and how individuals have an opportunity to decline to provide PII/BII.

X	Yes, individuals have an opportunity to decline to provide PII/BII.	<p>Specify how: For FFP, applicants may decline to provide PII/BII, but if required information is not provided, the applicant cannot receive the benefit.</p> <p>For the ECL application, employees and contractors may decline to their supervisors in writing, but they may then not be notified in case of emergencies.</p> <p>ITDS: the NMFS ITDS is not the original point of collection.</p> <p>NIMM: An individual can chose not to be the responsible official or the primary contact.</p> <p>NSAR: The individual will not register if he wishes to decline.</p> <p>MRIP ETL: No data collected directly by the system.</p> <p>HMS Legacy System – no new information is being collected.</p>
	No, individuals do not have an opportunity to decline to provide PII/BII.	Specify why not:

7.3 Indicate whether and how individuals have an opportunity to consent to particular uses of their PII/BII.

X	Yes, individuals have an opportunity to consent to particular uses of their PII/BII.	Specify how: For FFP, consent for the specified use is implied by completing and signing the loan application. Notice is also provided in NOAA-21. Above the signature is this text: The Applicant certifies that: (1) it is a citizen of the United States (if
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		<p>a corporation, at least 75% of the stock must be held by U.S. citizens), and (2) all information in this application is true and correct to the best of the applicant's knowledge and belief and is submitted to obtain a loan from the Fisheries Finance Program.</p> <p>For the ECL, emergency contact is the only use for the information.</p> <p>ITDS: the NMFS ITDS is not the original point of collection.</p> <p>NIMM: There is only one use for the information.</p> <p>NSAR: Participation in the phone survey is required. Anglers may choose not to purchase a license. There is no option to purchase a license and opt out of the survey if chosen.</p> <p>MRIP ETL: No data collected directly by the system.</p> <p>HMS Legacy System – no new information is being collected.</p>
	No, individuals do not have an opportunity to consent to particular uses of their PII/BII.	Specify why not:

7.4 Indicate whether and how individuals have an opportunity to review/update PII/BII pertaining to them.

X	Yes, individuals have an opportunity to review/update PII/BII pertaining to them.	<p>Specify how: For FFP, applicants/borrowers may provide updates at any time to the program office, by mail, fax, telephone or email, including when annual financial statements are submitted.</p> <p>For ECL, users may log on to the application and update the information at any time.</p> <p>ITDS: the NMFS ITDS is not the original point of collection.</p> <p>NIMM: Those with NIMM user accounts have access rights to review and update their data.</p> <p>NSAR: Information may be updated at the time of registration renewal.</p> <p>MRIP ETL: No data collected directly by the system.</p> <p>HMS Legacy System – no new information is being collected.</p>
	No, individuals do not have an opportunity to review/update PII/BII pertaining to them.	Specify why not:

**Section 8: Administrative and Technological Controls**

8.1 Indicate the administrative and technological controls for the system. (*Check all that apply.*)

x	All users signed a confidentiality agreement or non-disclosure agreement.
x	All users are subject to a Code of Conduct that includes the requirement for confidentiality.
x	Staff (employees and contractors) received training on privacy and confidentiality policies and practices.
x	Access to the PII/BII is restricted to authorized personnel only.
x	Access to the PII/BII is being monitored, tracked, or recorded. Explanation: Audit log
x	The information is secured in accordance with FISMA requirements. Provide date of most recent Assessment and Authorization (A&A): ____1/9/2017 <input type="checkbox"/> This is a new system. The A&A date will be provided when the A&A package is approved.
x	The Federal Information Processing Standard (FIPS) 199 security impact category for this system is a moderate or higher.
x	NIST Special Publication (SP) 800-122 and NIST SP 800-53 Revision 4 Appendix J recommended security and privacy controls for protecting PII/BII are in place and functioning as intended; or have an approved Plan of Action and Milestones (POAM).
x	Contractors that have access to the system are subject to information security provisions in their contracts required by DOC policy.
	Contracts with customers establish ownership rights over data including PII/BII.
	Acceptance of liability for exposure of PII/BII is clearly defined in agreements with customers.
	Other (specify):

8.2 Provide a general description of the technologies used to protect PII/BII on the IT system.

<p>The general controls used to protect the loan PII in these applications, involve controlled physical and logical access: role based access control, proper data segmentation and protection via encryption at rest and proper audit logging of events. Adequate media marking, transport and storage and incident monitoring and response are also used.</p> <p>The levels of implementation for these technologies meet the criteria required by NIST 800-53, Rev 4 under the following controls: Access Enforcement (AC-3), Separation of Duties (AC-5), Least Privilege (AC-6), Remote Access (AC-17), User-Based Collaboration and Information Sharing (AC-21). , Auditable Events (AU-2), Audit Review, Analysis, and Reporting (AU-6), Identification and Authentication (Organizational Users) (IA-2), Media Access (MP-2) , Media Marking (MP-3), Media Storage (MP-4), Media Transport (MP-5), Media Sanitization (MP-6), Transmission Confidentiality (SC-9), Protection of Information at Rest (SC-28), Information System Monitoring (SI-4).</p> <p>In addition to following database CIS benchmarks and best practices, all Oracle tables that contain PII/BII data are stored in an encrypted tablespace.</p>
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**Section 9: Privacy Act**



- 9.1 Indicate whether a system of records is being created under the Privacy Act, 5 U.S.C. § 552a. (A new system of records notice (SORN) is required if the system is not covered by an existing SORN).

As per the Privacy Act of 1974, "the term 'system of records' means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual."

X	<p>Yes, this system is covered by an existing system of records notice (SORN). Provide the SORN name and number (<i>list all that apply</i>):</p> <p><b>COMMERCE/NOAA-19</b>, Permits and Registrations for United States Federally Regulated Fisheries</p> <p><b>COMMERCE/NOAA-21</b>, Financial Services Division</p> <p><b>DEPT-18</b>, Employees Personnel Files Not Covered By Notices of Other Agencies</p> <p><b>DEPT-13</b>, Investigative and Security Records.</p>
	Yes, a SORN has been submitted to the Department for approval.
	No, a SORN is not being created.

## **Section 10: Retention of Information**

- 10.1 Indicate whether these records are covered by an approved records control schedule and monitored for compliance. (*Check all that apply.*)

X	<p>There is an approved record control schedule. Provide the name of the record control schedule:</p> <p>1510-01 <b>Pending Application files.</b> Applications for loans or other forms of assistance. Subdivided by type of aid. <b>Disposition</b></p> <ol style="list-style-type: none"> <li>1. Approved applications: Transfer to appropriate code for case file.</li> <li>2. Rejected applications: Destroy after 5 years.</li> </ol> <p>1510-02 <b>Fishery Loan files.</b> Case files on loans made to finance or refinance costs relating to fishing vessels, including their purchase. Includes applications, case histories, insurance policies, mortgages, and related correspondence and forms. <b>Disposition</b></p> <ol style="list-style-type: none"> <li>1. Collateral documents: Return to borrower when loan is repaid.</li> <li>2. Other documents: Cut off when loan is repaid. Destroy 3 years later.</li> </ol> <p>1512-13: International Trade Data System: <b>TEMPORARY.</b> Cut off closed files at end of calendar year, and transfer to FRC. Destroy when 20 years old.</p> <p>1502-03: MRIP ETL: <b>PERMANENT.</b> Transfer to FRC after 5 years. Offer to NARA when 25 year</p> <p>1515-03: NSAR: <b>TEMPORARY.</b> Cut off at end of study. Destroy 6 years after the completion of study.</p>
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	<p>NFCSS: Chapter 300 Personnel Management Files</p> <p>301-09</p> <p>Supervisors' Personnel Files.</p> <p>Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.</p> <p>DAA-GRS-2017-0007-0012 (GRS 2.2, item 080) Supersedes NOAA Schedule Items: 303-22a (GRS 1, item 18a) 303-22b (GRS 1, item 18b)</p> <p><b>TEMPORARY.</b> Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.</p> <p>1514-03: NIMM: <b>PERMANENT.</b> Cut off files annually and transfer to FRC when 3 years old. Transfer to the National Archives when 25 years old.</p> <p>HMS: 1513-11 Fishery Law Enforcement and Surveillance Files 1504 Fishery Management and Coordination Files 1504-18 Permit Fee Files 1504-21 Dealer, Buyer, Processor or Receiver Permits.</p> <p>Although there are some specific time limits on these items listed above, the data for these permits are stored indefinitely in our database. However, after this year when the last set of permits are due to expire in December, this application will no longer be available. It will be decommissioned. All other data will be handled by the National Permit System (NPS).</p> <p>ECL: DAA-GRS- 2013-0006-003. Disposition instruction: Temporary. Destroy when business need ceases.</p>
	<p>No, there is not an approved record control schedule.</p> <p>Provide the stage in which the project is in developing and submitting a records control schedule:</p>
X	<p>Yes, retention is monitored for compliance to the schedule.</p>
	<p>No, retention is not monitored for compliance to the schedule. Provide explanation:</p>

10.2 Indicate the disposal method of the PII/BII. (*Check all that apply.*)

<b>Disposal</b>			
Shredding	x	Overwriting	x
Degaussing	x	Deleting	x
Other (specify):			

**Section 11: NIST Special Publication 800-122 PII Confidentiality Impact Levels**

11.1 Indicate the potential impact that could result to the subject individuals and/or the organization if PII were inappropriately accessed, used, or disclosed.

	Low – the loss of confidentiality, integrity, or availability could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.
	Moderate – the loss of confidentiality, integrity, or availability could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals.
X	High – the loss of confidentiality, integrity, or availability could be expected to have a severe or catastrophic adverse effect on organizational operations, organizational assets, or individuals.

11.2 Indicate which factors were used to determine the above PII confidentiality impact levels. (Check all that apply.)

X	Identifiability	Provide explanation: Loan data includes Tax ID Numbers, which uniquely and directly identify individuals or businesses.
X	Quantity of PII	Provide explanation: Collective harm to individuals, but also harm to the organization's reputation and the cost to the organization in addressing a possible breach was considered.
X	Data Field Sensitivity	Provide explanation: There are sensitive data fields, including SSN/EIN.
X	Context of Use	Provide explanation The purpose for which PII is collected, stored, used, processed, disclosed, or disseminated was considered. Whether disclosure of the mere fact that PII is being collected or used could cause harm to the organization or individual was considered.
X	Obligation to Protect Confidentiality	Provide explanation: Magnuson-Stevens Fishery Conservation and Management Act, 16 U.S.C. 1801, Section 402b.
X	Access to and Location of PII	Provide explanation: The nature of authorized access to PII - The number and frequency of access was also considered. The degree to which PII is being stored on or accessed from teleworkers' devices or other systems, such as web applications, outside the direct control of the organization and whether PII is stored or regularly transported off-site by employees was considered.
	Other:	Provide explanation:

**Section 12: Analysis**

12.1 Indicate whether the conduct of this PIA results in any required business process changes.

X	Yes, the conduct of this PIA results in required business process changes.
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	Explanation: Addition of Privacy Act Statements.
	No, the conduct of this PIA does not result in any required business process changes.

12.2 Indicate whether the conduct of this PIA results in any required technology changes.

	Yes, the conduct of this PIA results in required technology changes. Explanation:
X	No, the conduct of this PIA does not result in any required technology changes.